



JCO6 Rec'd PCT/AUG 17 AUG 2005

Mail Stop PCT  
PATENT  
12480-000108/US

IN THE U.S. PATENT AND TRADEMARK OFFICE

APPLICATION. NO.: 10/527,712  
APPLICANT: Kuniko KIMURA et al.  
INTERNATIONAL APPL. NO.: PCT/JP2003/011670  
CONF.: 9156  
FILED: March 11, 2005  
FOR: THIN FILM AND METHOD FOR  
MANUFACTURING THE SAME

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**RESPONSE TO NOTICE TO FILE MISSING  
REQUIREMENTS OF AN APPLICATION**

Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314  
Mail Stop **PCT**

August 17, 2005

Sir:

Under the provisions of 37 C.F.R. § 1.494 or 37 C.F.R. § 1.495, attached hereto are the following additional items necessary for entering the national phase in connection with the above-identified PCT international application.

- ☒ Executed Declaration and Power of Attorney.
- ☒ Original ☐ Photocopy
- ☐ The specification attached to the executed Declaration and Power of Attorney is a true copy of the specification which was filed in the U.S. Patent and Trademark Office on , including any amendments thereto (if applicable) filed on even date therewith.

☒ The undersigned hereby declares that "Attorney Docket No. 12480-000108/US" on page 1 of the attached inventors' Declaration filed August 17, 2005, corresponds to Appl. No. 10/527,712 filed March 11, 2005, entitled "THIN FILM AND METHOD FOR MANUFACTURING THE SAME."

☐ English language specification, claims, and Abstract with ( ) sheets of drawings.

☐ Applicant claims small entity status under 37 C.F.R. § 1.27.

☒ Attached is a copy of Form PCT/DO/EO/905.

☒ Supplemental Preliminary Amendment (11 pages)

☒ No extension fee is required because the undersigned has filed the documents within the allotted time given by the Notification of Missing Requirements (Form PCT/DO/EO/905). However, if for some reason it is determined that an extension of time is necessary, applicant hereby respectfully petitions for an extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17.

☐ Applicant(s) hereby respectfully petitions for ( ) month(s) extension of time for the filing of the present paper in accordance with the provisions of 37 C.F.R. § 1.136 and 37 C.F.R. § 1.17. The required fee of \$0.00 is attached hereto.

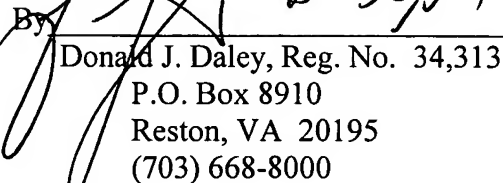
The Government Filing Surcharge in the amount of **\$130.00** in accordance with 37 C.F.R. §§ 1.494 and 1.492 **was previously paid for** concurrently with the filing of the application on **March 11, 2005.**

- ☐ Submitted concurrently herewith **under separate cover** for recording is an Assignment.
- ☐ A Fee of \$0.00 to cover the increase in fees of the filing Surcharge is enclosed.
- ☒ Check(s) in the amount of \$450.00 to cover the above-mentioned fees is/are enclosed (extra claim fees).

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 08-0750 for any additional fee required under 37 C.F.R. §§ 1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

HARNESS, DICKEY & PIERCE, P.L.C.

By  # 35,91  
Donald J. Daley, Reg. No. 34,313  
P.O. Box 8910  
Reston, VA 20195  
(703) 668-8000

DJD:let

Attachments

(Rev. 01/13/05)

**PTO FEE TRANSMITTAL**  
**for FY 2005**

Effective 01/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) **550.00**

**Complete if Known**

Application Number: 10/527,712

Filing Date: August 17, 2005

First Named Inventor: Kuniko KIMURA et al.

Examiner Name: Unknown

Art Unit: Unknown

Attorney Docket No.: 12480-000108/US

**METHOD OF PAYMENT (check all that apply)**

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 08-0750

Deposit Account Name: Harness, Dickey & Pierce, PLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION**

**1. BASIC FILING FEE**

| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Description        | Fee Paid      |
|---------------------|--------------|----------|----------|------------------------|---------------|
|                     |              | 1011     | 300      | Utility filing fee     |               |
|                     |              | 1012     | 200      | Design filing fee      |               |
|                     |              | 1013     | 200      | Plant filing fee       |               |
|                     |              | 1014     | 300      | Reissue filing fee     |               |
|                     |              | 1005     | 200      | Provisional filing fee |               |
| <b>SUBTOTAL (1)</b> |              |          |          |                        | <b>(\$ 0)</b> |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims: 31 -20 \*\* = 11 X 50 = 550

Independent Claims: 3 -3 \*\* = 0 X 200 = 0

Multiple Dependent: = 0

| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid           |
|---------------------|--------------|----------|----------|--|--------------------|
|                     |              | 1202     | 50       | Claims in excess of 20                                     |                    |
|                     |              | 1201     | 200      | Independent claims in excess of 3                          |                    |
|                     |              | 1203     | 360      | Multiple dependent claim, if not paid                      |                    |
|                     |              | 1204     | 200      | ** Reissue independent claims over original patent         |                    |
|                     |              | 1205     | 50       | ** Reissue claims in excess of 20 and over original patent |                    |
| <b>SUBTOTAL (2)</b> |              |          |          |  | <b>(\$ 550.00)</b> |

**550.00 OP**

**3. ADDITIONAL FEES**

| Large Entity                             | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid                  |
|--|--------------|----------|----------|--|---------------------------|
|  |              | 1051     | 130      | Surcharge - late filing fee or oath  |                           |
|  |              | 1052     | 50       | Surcharge - late provisional filing fee or cover sheet                     |                           |
|  |              | 1053     | 130      | Non-English specification  |                           |
|  |              | 1812     | 2,520    | For filing a request for reexamination                                     |                           |
|  |              | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |                           |
|  |              | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |                           |
|  |              | 1251     | 120      | Extension for reply within first month                                     |                           |
|  |              | 1252     | 450      | Extension for reply within second month                                    |                           |
|  |              | 1253     | 1020     | Extension for reply within third month                                     |                           |
|  |              | 1254     | 1,590    | Extension for reply within fourth month                                    |                           |
|  |              | 1255     | 2,160    | Extension for reply within fifth month                                     |                           |
|  |              | 1401     | 500      | Notice of Appeal   |                           |
|  |              | 1402     | 500      | Filing a brief in support of an appeal                                     |                           |
|  |              | 1403     | 1000     | Request for oral hearing   |                           |
|  |              | 1452     | 500      | Petition to revive - unavoidable   |                           |
|  |              | 1453     | 1500     | Petition to revive - unintentional   |                           |
|  |              | 1501     | 1400     | Utility issue fee (or reissue)   |                           |
|  |              | 1502     | 800      | Design issue fee   |                           |
|  |              | 1460     | 130      | Petitions to the Commissioner  |                           |
|  |              | 1807     | 50       | Processing fee under 37 CFR 1.17 (q)                                       |                           |
|  |              | 1806     | 180      | Submission of Information Disclosure Stmt                                  |                           |
|  |              | 8021     | 40       | Recording each patent assignment per property (times number of properties) |                           |
|  |              | 1809     | 790      | Filing a submission after final rejection (37 CFR § 1.129(a))              |                           |
|  |              | 1810     | 790      | For each additional invention to be examined (37 CFR § 1.129(b))           |                           |
|  |              | 1801     | 790      | Request for Continued Examination (RCE)                                    |                           |
| Other fee (specify) _____                |              |          |          |  |                           |
| <b>*Reduced by Basic Filing Fee Paid</b> |              |          |          |  | <b>SUBTOTAL (3) (\$0)</b> |

**4. SEARCH/EXAMINATION FEES**

| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Description         | Fee Paid     |
|---------------------|--------------|----------|----------|-------------------------|--------------|
|                     |              | 1111     | 500      | Utility Search Fee      |              |
|                     |              | 1112     | 100      | Design Search Fee       |              |
|                     |              | 1113     | 300      | Plant Search Fee        |              |
|                     |              | 1114     | 500      | Reissue Search Fee      |              |
|                     |              | 1311     | 200      | Utility Examination Fee |              |
|                     |              | 1312     | 130      | Design Examination Fee  |              |
|                     |              | 1313     | 160      | Plant Examination Fee   |              |
|                     |              | 1314     | 600      | Reissue Examination Fee |              |
| <b>SUBTOTAL (4)</b> |              |          |          |                         | <b>(\$0)</b> |

08/24/2005 ATRAN1 00000144 10527712  
01 FC:1615

**SUBMITTED BY**

Name (Print/Type): Donald Daley

Signature: [Signature]

Registration No. (Attorney/Agent): 4,313

Telephone: (703) 668-8000

Date: August 17, 2005

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



AUG 17 2005

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

Page 1 of 2 *DD*  
*PCT*

|                             |                       |                  |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/527,712                  | Kuniko Kimura         | 12480-000108/US  |

|                               |               |
|-------------------------------|---------------|
| INTERNATIONAL APPLICATION NO. |               |
| PCT/JP03/11670                |               |
| I.A. FILING DATE              | PRIORITY DATE |
| 09/11/2003                    | 09/12/2002    |

30593  
 HARNESS, DICKEY & PIERCE, P.L.C.  
 P.O. BOX 8910  
 RESTON, VA 20195

*Miss Reg.*  
*8/17/05* *[Signature]*

CONFIRMATION NO. 9156  
 371 FORMALITIES LETTER



\*OC000000016311723\*

Date Mailed: 06/17/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 03/11/2005
- Copy of the International Search Report filed on 03/11/2005
- Preliminary Amendments filed on 03/11/2005
- Information Disclosure Statements filed on 03/11/2005
- Request for Immediate Examination filed on 03/11/2005
- Copy of references cited in ISR filed on 03/11/2005
- U.S. Basic National Fees filed on 03/11/2005

The applicant needs to satisfy supplemental fees problems indicated below.

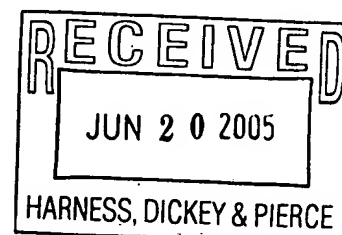
The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$400** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$400** for a Large Entity:

- Total additional claim fee(s) for this application is **\$ 400**



- \$400 for 2 independent claims over 3.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

DEBORAH D WILLIAMS

Telephone: (703) 308-9140 EXT 205

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/527,712                  | PCT/JP03/11670                | 12480-000108/US  |